

DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

DIVISION OF CHILD DEVELOPMENT


do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The

DIVISION OF CHILD DEVELOPMENT

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Anna Wasden, Chief Records Officer
Department of Health and Human Services



Betsy Bennett, Records Officer
Division of Child Development

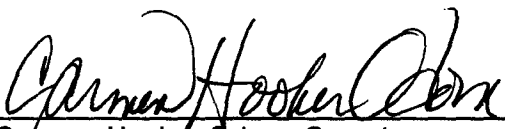


Peggy Ball, Director
Division of Child Development



David Brook, Director
Division of Historical Resources

APPROVED



Carmen Hooker Odom, Secretary
Department of Health and Human Services



Lisbeth C. Evans, Secretary
Department of Cultural Resources

November 5, 2004

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**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
ADMINISTRATION SECTION**

Item 29. AUTOMATED SYSTEMS' REPORTS FILE. Records concerning regulated child care facilities in the state. File includes statewide child care statistics.

DISPOSITION INSTRUCTIONS: Records transferred to Regulatory On-Line System Database (Electronic) File (Item 47206). Specific data from this series has been entered into Regulators On-Line System Database (Electronic) File (Item 47206). Destroy in office remaining paper records.

Item 7754. CHILD CARE COMMISSION MINUTES FILE. Minutes of the Child Care Commission. File also includes attachments.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 7758. CHILD CARE COMMISSION DECLARATORY RULINGS FILE. Declaratory rulings issued by the Child Care Commission.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 7761. CHILD CARE COMMISSION FILE. Records in paper and electronic formats supporting minutes of the Child Care Commission. File includes correspondence with commission members, reports, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office electronic records when administrative value ends.

Item 20452. CHILD CARE COMMISSION PUBLIC HEARINGS FILE. Records in paper and electronic formats concerning public hearings scheduled by the Division of Child Development and/or the Child Care Commission. File includes public hearing notices and notes of hearings. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records which were printed and filed when reference value ends. Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
ADMINISTRATION SECTION**

Item 20453. CONTRACTS AND GRANTS FILE. Records in paper and electronic formats concerning Division of Child Development contracts and grants. File includes pre-applications, proposals, applications, and special project records for various programs and projects. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following the date of submission of the final expenditure report for the period to which the report pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all issues are resolved, or until the end of the regular three-year period, whichever is later. Destroy in office only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

Item 47182. CONTRACTS WORKING FILE. Records concerning the preparation of necessary contracts. File includes budget and financial reports, correspondence with division staff and contractors, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47183. MONITORING PLAN AND REPORTS FILE. Records concerning the monitoring of subrecipients of federal and state funds to ensure compliance with all rules, regulations, and policies. File includes desk audit reports, on-site programmatic and fiscal monitoring reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years following the date of submission of the final expenditure report for the period to which the report pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all issues are resolved, or until the end of the regular three-year period, whichever is later. Destroy in office only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
ADMINISTRATION SECTION**

Item 47202. CRIMINAL RECORDS CHECK BACKGROUND SYSTEM DATABASE

(ELECTRONIC) FILE. Electronic records concerning criminal background checks on all child care providers (staff in centers, family child care homes, and non-licensed homes receiving subsidy). Electronic file includes applicants' personal information, demographic information, employment information, dates scanned into system, SBI/FBI results, dates background checks sent/received from SBI/FBI, types of convictions/offenses, review panel information (review panel decisions, dates sent to review panel), qualification or disqualification status, and other related data. Data is entered into this database from Criminal Records Check File (Item 47201), Workforce Standards Section. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

Item 47204. EARLY CHILDHOOD WORKFORCE DATABASE (ELECTRONIC) FILE. Electronic records concerning applicants who work in child care facilities. Electronic file includes applicants' names, addresses, social security numbers, testing and other equivalency results, courses of study, names of colleges, and applicants' certification status. Data is entered into this database from North Carolina Early Childhood Credential Applications File (Item 7759), North Carolina Early Childhood Equivalency Standardized Tests (Item 47197), and Child Care Personnel Education Assessment File (Item 47226), Workforce Standards Section. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

Item 47205. SUBSIDIZED CHILD CARE REIMBURSEMENT SYSTEM DATABASE

(ELECTRONIC) FILE. Electronic records concerning child care costs, days children attend child care, and parent fees. Electronic file includes children's dates of birth, social security numbers, race, gender, monthly payment rates, fund sources, and status of clients. Data is entered into this database from local purchasing agencies. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
ADMINISTRATION SECTION**

Item 47206. REGULATORY ON-LINE SYSTEM DATABASE (ELECTRONIC) FILE. Electronic records concerning the regulatory status of child care facilities in the state. Electronic file includes names of facilities, history of facilities, permits, social security numbers, owners' names, administrators' names, addresses, and star evaluations' month and year. Data is entered into this database from Active License File (Item 7771), Regulatory Services Section and from Terminated Facilities File (Item 30), Regulatory Services Section. Data is also extracted from this database via an interface and entered into Subsidized Child Care Approval Notice Database (Electronic) File (Item 47214). (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

Item 47218. BUDGET ADMINISTRATION FILE. Records in paper and electronic formats concerning the administration of budgets of the Division of Child Development. File includes budgetary records and correspondence. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47219. DIVISION OF CHILD DEVELOPMENT BUDGET FILE. Records in paper and electronic formats concerning division budgetary records. File includes specific information concerning budgets of the Division of Child Development. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
ADMINISTRATION SECTION**

Item 47221. MONTHLY PROGRAM AND EXPENDITURE SUMMARY REPORT FILE. Reports in paper and electronic formats completed monthly concerning the status of budgetary and program activity for division management and interested clients. File includes Monthly Subsidized Child Care Expenditure Report, Monthly Statistical Summary, Smart Start Expenditure Report, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47222. LONG TERM SPECIAL PROJECTS FILE. Records in paper and electronic formats concerning long term special projects completed by or for the Division of Child Development. File includes Subsidized Child care Market Rate Survey, North Carolina Early Childhood Needs and Resources Assessment, planning, development, and execution of projects records, and final products. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when administrative value ends.

Item 47224. REVERSION AND CONTINUATION FILE. Records in paper and electronic formats concerning the reversion of division funds and continuation of services. File includes records concerning reversion of funds of the division and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47225. REQUESTS FOR BUDGET INFORMATION FILE. Records in paper and electronic formats concerning budget requests and responses issued by the division. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records in office after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
ADMINISTRATION SECTION**

Item 47230. BUDGET CERTIFICATION FILE. Reference copies of records in paper and electronic formats concerning each budget's certification by the Office of State Budget and Management. File includes specific budget certification information. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47231. DIVISION'S BUDGET ANALYSIS FILE. Records in paper and electronic formats concerning the history and administration of unit budgets of the Division of Child Development. File includes specific historical and current budgetary information concerning the administration of units within the Division of Child Development. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47232. DIVISION'S LAPSED SALARIES FILE. Records in paper and electronic formats concerning division lapsed salaries. File includes specific information concerning lapsed salaries of the Division of Child Development. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47233. DIVISION MONTHLY BUDGET REPORTS FILE. Reference copies in paper and electronic formats of records concerning monthly budget reports of the division. File includes specific information concerning monthly budget reports and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
DIRECTOR'S OFFICE**

Item 7762. ATTORNEY GENERAL'S OPINIONS AND COURT CASE DECISIONS FILE.

Records in paper and electronic formats concerning legal opinions and rulings and other related records prepared by the Attorney General's Office. Subjects covered by this series include subsidized child care, regulatory issues, and workplace standards. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when reference value ends.

Item 7769. MANAGEMENT TEAM MINUTES FILE. Records in paper and electronic formats concerning the management team staff meetings. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 1 year.

Item 14162. CHILD CARE ADMINISTRATIVE AND PLANNING RECORDS FILE. Records concerning histories used for reference in planning and proposing legislation, recording committee meeting action, and preparing reports. File includes letters, memorandums, articles, agendas, proposed laws, listings, hearings, and newspaper clippings.

DISPOSITION INSTRUCTIONS: Records transferred to Division of Child Development Legislative File(Item 7757), Policy Unit.

Item 47038. NORTH CAROLINA INTERAGENCY COORDINATING COUNCIL MINUTES FILE.

Records in paper and electronic formats of informal minutes of meetings of the North Carolina Interagency Coordinating Council. File also includes informal sub-committee meeting minutes. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years.

Item 47094. CONTRACTS WORKING FILE. Records concerning the preparation of necessary contracts with the division. File includes records concerning the review of budgets, financial reports for compliance, correspondence between division and contractors, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
DIRECTOR'S OFFICE
POLICY UNIT**

Item 7755. RULE MAKING FILE. Reference copies of records concerning the development and Implementation of rules in the North Carolina Administrative Code. File includes Administrative Procedures Act (APA) and Administrative Code. File also includes correspondence from the Child Care Commission, Social Services Commission, and the Secretary of the Department of Health and Human Services.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

Item 7757. DIVISION OF CHILD DEVELOPMENT LEGISLATIVE FILE. Records in paper and electronic formats concerning agency legislation. File includes proposed legislation, bill reviews, special provisions, newspaper clippings, correspondence, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 10 years.

Item 47210. CHILD CARE DEVELOPMENT FUND (CCDF) STATE PLANS FILE. Records in paper and electronic formats concerning biennial state plans for federal funding. File includes guidance records, public comments, public hearing records, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Retain paper and electronic records in office permanently.

Item 47211. REQUESTS FOR DIVISION INFORMATION FILE. Records concerning requests for information from the media, legislature, and state departments. File includes requests and responses.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

Item 47212. CONTROL LETTERS AND OTHER CORRESPONDENCE FILE. Records concerning responses to citizens' regarding child care issues. File includes citizens' letters to the governor and department secretary.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
HEAD START COLLABORATION OFFICE**

Item 1592. HEAD START FILE. Records in paper and electronic formats concerning Head Start programs. File includes surveys, responses to control letters, Head Start student enrollment, staff information, number of programs, number of Early Head Start programs, and Head Start collaborative initiatives. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

Item 47208. CONTRACT WORKING FILE. Records concerning the preparation of necessary contracts. File includes budgets, financial reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
PERSONNEL OFFICE**

Item 7765. PERSONNEL FILE. Personnel-related information concerning employees of the Division of Child Development. File includes salary increment and service award records, service history information, administrative personnel documents, job descriptions, merit increase records, and pending applications. (Comply with provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency in the State Records Center an additional 25 years and then destroyed.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
REGULATORY SERVICES SECTION**

Item 30. TERMINATED FACILITIES FILE. Records concerning child care facilities whose licenses have been terminated. File includes completed licensing forms, monitoring reports, correspondence, and other related records. Data is entered into Regulatory On-Line System Database (Electronic) File (Item 47206) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

Item 31. INACTIVE CHILD CARE FACILITIES FILE. Records concerning inactive licensed child care facilities. File includes licensing forms, monitoring reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer terminated facilities' records to Terminated Facilities File (Item 30). Transfer activated facilities' records to Active License File (Item 7771) when activated. Destroy in office inactive facilities' records after 3 years.

Item 7760. COMPLAINTS FILE. Records in paper and electronic formats concerning complaints registered against nonlicensed child care facilities. File includes information concerning the specifics of complaints and the disposition of complaints. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office electronic records routinely. Retain in office electronic records permanently. Destroy in office paper records after 3 years.

Item 7763. LICENSED FACILITIES FILE. Correspondence concerning monitoring visits at child day care facilities. File also includes a copy of each facility's license.

DISPOSITION INSTRUCTIONS: Records transferred to Active License File (Item 7771).

Item 7764. OTHER STATES' CHILD CARE REGULATIONS FILE. Reference information concerning other states' regulations, standards, and requirements for child care licensing.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office all records immediately.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
REGULATORY SERVICES SECTION**

Item 7768. ACTIVE CHILD CARE FACILITIES FILE. Records concerning child care facilities caring for five or fewer children which must be registered and licensed. File includes completed registration forms, monitoring reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Records transferred to Active License File (Item 7771).

Item 7770. TRANSITORY FILE. Working records concerning the Day Care Institute and Woodlawn Day Care Center.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office all records immediately.

Item 7771. ACTIVE LICENSE FILE. Records in paper and electronic formats concerning child care facilities whose licenses are active. File includes completed licensing forms, monitoring reports, correspondence, administrative action records, and other related records. Data is entered into Regulatory On-Line System Database (Electronic) File (Item 47206) and routinely updated. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Retain in office active licenses until license is terminated then transfer paper records of terminated facilities to Terminated Facilities File (Item 30). Transfer electronic records to Regulatory On-Line System Database (Electronic) File (Item 47206) when license is terminated.

Item 7772. CHURCH-STATE DAY CARE ISSUE FILE. Litigation records concerning church-state day care issues. File includes correspondence concerning cases, copies of court proceedings, and lists of facilities involved in lawsuits.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office all records immediately.

Item 7773. FACILITIES SUSPENSE FILE. Records concerning child care facilities with whom initial contact has been made regarding licensing. File includes licensing forms, registration forms, correspondence, and other related records with facilities child care operations.

DISPOSITION INSTRUCTIONS: Records transferred to Active License File (Item 7771).

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
REGULATORY SERVICES SECTION**

Item 7775. CORRESPONDENCE FILE. Records in paper and electronic formats of correspondence concerning child care. File includes or concerns requests for standards, manuals, publications, and other related items not directed towards a particular child care operation, and a chronological reading file. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years.

Item 13992. ADMINISTRATIVE FILE. Reference copies concerning information pertinent to section operations. File includes brochures, special projects, legislation, correspondence, child care policy and procedures, and statistical reports.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 14164. MINUTES, AGENDAS, REPORTS, AND PROGRAM AND PLANNING MATERIALS FILE. Records concerning conferences and meetings held or attended by the staff members. File includes copies of minutes, agendas, reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
REGULATORY SERVICES SECTION**

Item 14527. ABUSE-NEGLECT CASE FILE. Records concerning abuse and neglect investigations in child care facilities. File includes correspondence, documentation on complaints, visits, telephone conversations, and other related records. Data is entered into Abuse-Neglect Database (Electronic) File (Item 47180) and routinely updated. (Comply with applicable provision of G.S. 7A-544 regarding confidentiality of juvenile information.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

Item 14528. ABUSE-NEGLECT ADMINISTRATIVE FILE. Records concerning the administration of abuse and neglect investigations in child care facilities. File includes correspondence, statistical reports, policies and procedures, and other related records. Information is entered into Abuse-Neglect Administrative Database (Electronic) File (Item 47091) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 20454. UNIT ADMINISTRATION FILE. Correspondence concerning committees and affiliations.

DISPOSITION INSTRUCTIONS: Records transferred to Subject File (Item 7756).

Item 41920. DAY CARE REGULATORY SYSTEM DATABASE (ELECTRONIC) FILE. Electronic records concerning licensed child care facilities and providers. Electronic file includes provider, facility name, address, status, permit type, and other related data. (Electronic database systems are maintained by Department of Health and Human Services, Division of Child Development Local Area Network (LAN) Administrator). Electronic files on hard drives of the LAN are backed up daily (Monday-Sunday) on LAN and stored in a fire proof safe on site.

DISPOSITION INSTRUCTIONS: Retain in office electronic file permanently. Agency representative will update electronic file routinely.

Item 47091. ABUSE-NEGLECT ADMINISTRATIVE DATABASE (ELECTRONIC) FILE. Electronic records concerning the administration of the abuse-neglect program in child care facilities. Electronic file includes correspondence, statistical reports, policies and procedures, and other related records. Data is entered into this database from Abuse-Neglect Administrative File (Item 14528). (Comply with applicable provisions of G.S. 7A-544 regarding confidentiality of juvenile information.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
REGULATORY SERVICES SECTION**

Item 47095. INCIDENT REPORTS FILE. Records in paper and electronic formats concerning injuries that have occurred in the child care program. File includes completed injury reports. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update electronic records in office routinely. Retain in office electronic records permanently. Destroy in office paper records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47180. ABUSE AND NEGLECT DATABASE (ELECTRONIC) FILE. Electronic records concerning abuse and neglect investigations in child care facilities. Electronic file includes complaints, visits to facilities, telephone conversations documentation, and other related records. Data is entered into this database from Abuse-Neglect Case File (Item 14527). (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

Item 47213. CONTRACTS WORKING FILE. Records concerning the preparation of necessary contracts. File includes budget and financial reports for compliance, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47236. LICENSING ENFORCEMENT FILE. Records concerning cases which have been contested and administrative actions have been issued to child care providers. File includes records concerning active hearings, settlements, and contested cases.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 47237. INTERNAL ADMINISTRATIVE ACTION REVIEW PROCESS FILE. Records concerning recommendations and/or issuance of administrative actions to child care facilities. File includes working papers concerning adverse actions proposed from division staff members with supporting documentation.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
SUBSIDY SERVICES SECTION**

Item 20451. SUBSIDY SERVICES POLICY MANUAL AND CHANGE NOTICE FILE. Records concerning division policy. File includes administrative letters, policy change notices, and memorandums relevant to child care services. Data is entered into Subsidy Services Policy Manual and Change Notice Database (Electronic) File (Item 47189) and routinely updated.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 20455. LOCAL PURCHASING AGENCY CORRESPONDENCE FILE. Records concerning correspondence sent out from the Division of Child Development to county Departments of Social Services and other local purchasing agencies regarding subsidized child care services' deliveries. File includes letters, memorandums, and agreements.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

Item 47189. SUBSIDY SERVICES POLICY MANUAL AND CHANGE NOTICE DATABASE (ELECTRONIC) FILE. Electronic records concerning the Division of Child Development's subsidized child care policy manual. Electronic file includes administrative letters, policy change notices, and memorandums relevant to subsidized child care services. Data is entered into this database from Subsidy Services Policy Manual and Change Notice File (Item 20451). (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when administrative value ends.

Item 47190. SUBSIDY SERVICES PROVIDER ENROLLMENT, PAYMENT RATE AND RATE SETTING CORRESPONDENCE FILE. Records concerning child care provider's Subsidy Enrollment Applications to participate in the Subsidized Child Care Program and Payment Rate information and other correspondence received from child care providers, County Departments of Social Services, or other local purchasing agencies to the Subsidy Services Section Rate Setting Unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
SUBSIDY SERVICES SECTION**

Item 47191. SUBSIDY SERVICES AUDIT CORRESPONDENCE (BY COUNTY) FILE. Records concerning Single County Audits regarding the Subsidized Child Care Administration. File includes correspondence, copies of audit information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 47192. SUBSIDY SERVICES TRAINING FILE. Records concerning training provided by Subsidy Services Section staff of the Division of Child Development to county Departments of Social Services or other local purchasing agencies. File includes training materials, agendas, rosters of attendees, and handouts.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

Item 47193. SUBSIDY SERVICES TECHNICAL ASSISTANCE (BY COUNTY) FILE. Records concerning technical assistance provided by Subsidy Services Section staff of the Division of Child Development to a specific county Department of Social Services or other local purchasing agency. File includes technical assistance reports and checklists from provider and family case records reviews from county Departments of Social Services or other local purchasing agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

Item 47194. SUBSIDY ALLOCATION AND EXPENDITURE FILE. Records in paper and electronic formats concerning subsidy allocation and expenditure information related to direct services and services support administered by the Division of Child Development detailing the amount of funding to be allocated to each county Department of Social Services or other local purchasing agencies. File includes funding letters and funding authorizations. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records in office 3 years after the completion of the action and resolution of the issues involved. Destroy in office only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
SUBSIDY SERVICES SECTION**

Item 47195. LOCAL PURCHASING AGENCY FUNDING AUTHORIZATION FILE. Records in paper and electronic formats concerning funding authorizations sent from the Division of Child Development to county Departments of Social Services and other local purchasing agencies. File includes funding authorizations. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 5 years after completion of action and resolution of issues involved. Destroy in office only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

Item 47214. SUBSIDIZED CHILD CARE APPROVAL NOTICE DATABASE (ELECTRONIC) FILE. Electronic records concerning approval of child care providers participating in the Subsidized Child Care Program. Electronic file includes approval notices to participate in the program. Data is entered into this database through interface with Regulatory On-Line System Database (Electronic) File (Item 47206). (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

Item 47234. SUBSIDY SERVICES SANCTION REQUEST AND RESPONSE FILE. Records concerning requests and responses from county Departments of Social Services or other local purchasing agencies to the Subsidy Review Panel regarding client and provider sanctions. File includes sanction requests, supporting documentation, and correspondence from county Departments of Social Services, local purchasing agencies, and other affected parties, if applicable, depending on action taken.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
SUBSIDY SERVICES SECTION**

Item 47235. SUBSIDY SERVICES MONITORING FINDINGS AND REPORTS FILE. Records concerning monitoring review panel information and monitoring of county Departments of Social Services or other local purchasing agencies by Subsidy Services Section. File includes confirmation letters, cover letters, list of client and provider cases identified for review, drafts and final summary of monitoring reports, rebuttal and response information from counties, and final letters closing out monitoring from the Division of Child Development.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
WORKFORCE STANDARDS SECTION**

Item 7759. NORTH CAROLINA EARLY CHILDHOOD CREDENTIAL APPLICATIONS FILE.

Records in paper and electronic formats concerning child care credential applications, official college transcripts, and correspondence concerning the attainment of the North Carolina Early Childhood Credential (NCECC), the North Carolina Family Child Care Credential, the North Carolina School-Age Credential, and the North Carolina Early Childhood Administration Credential (NCECAC). File includes names, addresses, social security numbers, education background, and credential/facility information. Data is entered into Early Childhood Workforce Database (Electronic) File (Item 47204) and routinely updated. (Comply with applicable provisions of 20 USCA 1232g regarding the confidentiality of student records.) (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Retain in office paper and electronic records permanently.

Item 47196. TRANSCRIPT AND PORTFOLIO ASSESSMENT PENDING FILE. Records concerning child care providers' requests to have their education assessed to make sure they meet child care law or rated license requirements. Records are pending until appropriate forms are received to verify completed degree(s) or coursework. File includes official transcripts and portfolio assessments submitted without appropriate education and equivalency information forms. (Comply with applicable provisions of 20 USCA 1232g regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer verified transcripts and portfolio assessments to North Carolina Early Childhood Credential Applications File (Item 7759). Destroy in office remaining records after 3 years.

Item 47197. NORTH CAROLINA EARLY CHILDHOOD EQUIVALENCY STARDARDIZED TESTS FILE. Records concerning equivalency tests for the North Carolina Early Childhood Credential (NCECC) and the North Carolina Early Childhood Administration Credential (NCECAC) coursework. File includes lists, rosters, and tests including cover sheets of licensed child care providers and non-providers. Data is entered into Early Childhood Workforce Database (Electronic) File (Item 47204) and routinely updated. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: If individual passes test, retain cover sheet in office permanently. If individual fails test, retain test and cover sheet in office permanently. Destroy in office remaining records when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
WORKFORCE STANDARDS SECTION**

Item 47198. CONTRACTS WORKING FILE. Records in paper and electronic formats concerning the preparation of necessary contracts. File includes budgets, financial reports for compliance, correspondence between the division and contractors identifying and addressing contracting issues, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years if no litigation, claim, negotiation, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 47199. NORTH CAROLINA INSTITUTE FOR EARLY CHILDHOOD PROFESSIONAL DEVELOPMENT FILE. Records in paper and electronic formats concerning the Institute's initiatives that result in a comprehensive early care and education professional development system for the state. File includes correspondence, grant proposals, quarterly reports, professional development awards applications, products and publications, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when administrative value ends.

Item 47200. IN-SERVICE TRAINING FILE. Records concerning North Carolina's child care law and rules containing requirements for the education and training of child care staff, and annual in-service training. File includes qualification forms, training outlines, training authorization forms, training rosters, and evaluations.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

Item 47201. CRIMINAL RECORDS CHECK FILE. Records concerning criminal record background checks for all child care providers to determine if they are qualified to care for children. File includes identifying information sheets, authority for release of information, county or local criminal record history report, fingerprint cards, SBI/FBI results, qualification letters, correspondence, and other related information. Data is entered into Criminal Records Check Background System Database (Electronic) File (Item 47202) and routinely updated. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year if no litigation, claim, audit, or other official involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF CHILD DEVELOPMENT
WORKFORCE STANDARDS SECTION**

Item 47203. PORTFOLIO ASSESSMENT FORMS FILE. Records in paper and electronic formats concerning child care providers' requests to have their education assessed to confirm they meet child care law or rated license requirements. File includes portfolio assessment forms. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 10 years.

Item 47207. SUPERVISION SERIES FILE. Records in paper and electronic formats concerning training curriculums for child care providers. File includes training modules to help prepare staff to keep children safe during field trips and routine transportation; handling accidents, illnesses, and medications; and routine care and nurturing guidance for infants and toddlers. (File maintenance and backup procedures conducted by Information Management Services (IMS).)

DISPOSITION INSTRUCTIONS: Destroy in office paper records when administrative value ends. Update electronic records in office routinely. Retain in office electronic records permanently.

Item 47226. CHILD CARE PERSONNEL EDUCATION ASSESSMENT FILE. Records in paper and electronic formats concerning child care personnel requests to have their education assessed to confirm that it meets child care laws or rated license requirements. File includes North Carolina Education and Equivalency Information form, transcripts, correspondence, and other related records. Data is entered into Early Childhood Workforce Database (Electronic) File (Item 47204) and routinely updated. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Retain in office paper and electronic records permanently.

